FORM PTO-14 (Modified)	449	, v <u>n</u>	U.S. Denar Part and	rtment of Commerce	Attorney Docket No 03849	.: GENITOPE-	Serial No.: 0	9/370,453	
INFORMATION DISCLOSURE STATEMENT BY APPLIANT			PPLANT	Applicant: Dan W. Denney, Jr.					
(Use Several Sheets 14 N (37 CFR § 1.98(b))		ts If Necessary) 8 200	Filing Date: 08/09/99		99	Group Art Unit: 1642			
(5) Cik § 1.5	0(0))		- \	PATENT DOC	l	,	<u> </u>	<u> </u>	
Examiner Initials		Serial / Patent Number	Issue Date		ant / Patentee	Class	Subclass	Filing	g Date
\mathscr{D}	1	5,122,464	06/16/92	Wi	lson <i>et al</i> .	435	172.3	10/1	0/90
Y Y	2	4,683,195	07/28/87	Mu	ıllis et al.	435	6	02/0	7/86
	3	4,683,202	07/28/87		Mullis	435	91	10/2	25/85
	4	4,965,188	10/23/90	Mı	ıllis et al.	435	6	06/1	7/87
	5	4,656,134	04/07/87]	Ringold	435	91	04/1	2/85
	6	5,043,270	08/27/91	Abı	rams et al.	435	69.1	03/3	1/89
	7	4,399,216	08/16/83	A	xel et al.	435	6	02/2	25/80
1,	8	4,634,665	01/06/87	A	xel et al.	435	68	08/1	1/83
<u> </u>	9	5,179,017	01/12/93	A	xel et al.	435	240.2	06/1	8/91
<u> </u>		F	OREIGN PATENTS	OR PUBLISHED FO	REIGN PATENT APPI	LICATIONS	T · · · · · · · · · · · · · · · · · · ·	т	
		Document	Publication Date	Country	/ Patent Office	Class	Subclass	Trans	lation
		Number	rubilication Date	Country	7 Tatent Office	Class	Subciass	Yes	No
	10	94/08601	04/28/94		PCT	A61K	37/00		
	11	91/13632	09/19/91		PCT	A61K	39/00		
	-	OTHER	DOCUMENTS (Inclu	uding Author, Title, D	Date, Relevant Pages, P	lace of Publication)			
Ø,	12) "Amplification of M an - Protein C," <i>Gene</i>		in the Human 293 Cell	Line and Secretion	of Correctly Pro	ocessed	
¥	13	Maniatis et al., (19	Maniatis et al., (1987) "Regulation of Inducible and Tissue-specific Gene Expression," Science 236:1237-1244;						
	14	Voss et al., (1986) 289;	Voss et al., (1986) "The Role of Enhancers in the Regulation of Cell-Type-Specific Transcriptional Control," Trends Biochem. Sci. 11:287-289;						
	15	Dijkema et al., (1985) "Cloning and Expression of the Chromosomal Immune Interferon Gene of the Rat," EMBO J. 4:761-767;							
	16	Uetsuki et al., (1989) "Isolation and Characterization of the Human Chromosomal Gene for Polypeptide Chain Elongation Factor-1α," J. Biol. Chem. 264:5791-5798;							
	17	Kim et al., (1990) "Use of the Human Elongation Factor 1α Promoter as a Versatile and Efficient Expression System," Gene 91:217-223;							
	18	Mizushima and Na	ıgata, (1990) "pEF-BO	S, A Powerful Mamr	nalian Expression Vect	tor," Nuc. Acids. Res	s., 18:5322;		
	19	Gorman et al., (1982) "The Rous Sarcoma Virus Long Terminal Repeat is a Strong Promoter When Introduced into a Variety of Eukaryotic Cells by DNA-mediated Transfection," Proc. Natl. Acad. Sci. USA 79:6777-6781;							
	20	Boshart et al., (1985) "A Very Strong Enhancer is Located Upstream of an Immediate Early Gene of Human Cytomegalovirus," Cell 41:521-530;							
	21	Sambrook et al., (1989) Molecular Cloning: A Laboratory Manual, 2nd ed., Cold Spring Harbor Laboratory Press, New York pp. 16.6-16.8, 7.26-7.29, 9.16-9.23;							
	22	Schmike et al., (1978) "Gene Amplification and Drug Resistance in Cultured Murine Cells," Science 202:1051-1055;							
	23	Kaufman, (1990) "Selection and Coamplification of Heterologous Genes in Mammalian Cells," Methods in Enzymol., 185:537-565;							
	24	Bird et al., (1988)	"Single-Chain Antiger	n-Binding Proteins," S	Science 242:423-426;				
	25		8) "Protein engineerin in <i>Escherichia coli</i> ,"		g sites: Recovery of sp i USA 85:5879-5883;	pecific activity in an	anti-digoxin sin	gle-chain F	v
	Bebbington et al., (1992) "High-Level Expression Of A Recombinant Antibody From Myeloma Cells Using A Glutamine Synthetase Gene As An Amplifiable Selectable Marker," Bio/Technology 10:169-175;								
Examiner		transil			Date Considered:	10/8/01			
EXAMINER:		itial citation considere		citation if not in con	formance and not cons	idered. Include cop	y of this form		
with next communication to appricant.									

FORM PTO-14 (Modified)	49		epartment of Commerce and Trademark Office	Attorney Docket No.: GENITOPE- 03849	Serial No.: 09/370,453	
INFORMATION DISCLOSURE STATEMEN (Use Several Sheets If Necessa			/ ()	Applicant: Dan W. Denney, Jr.		
(Use Several Sneets If Neces		(Use Several Sheets II Necessary)	1 8 2001	Filing Date: 08/09/99	Group Art Unit: 1642	
			neluding Author, Title	te, Relevant Pages, Place of Publication)		
R	27	Dorai and Moore, (1987) "The Effect of Decorption ductase-Mediated Gene Amplification on the Expression of Transfected Immunoglobulin Genes," J. Immunol. 139:4232-4241;				
\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	28	Ausubel et al., (1995) Current Protocols in Molecular Biology, John Wiley & Sons, Inc., at 9.3.1 to 9.3.6;				
	29	Dijkema et al. (1985) "Cloning and expression of the chromosomal immune interferon gene of the rat," EMBO J. 4:761-767;				
	30	Takebe et al., (1988) "SRα Promoter: An Efficient and Versatile Mammalian cDNA Expression System Composed of the Simian Virus 40 Early Promoter and the R-U5 Segment of Human T-Cell Leukemia Virus Type 1 Long Terminal Repeat," Mol. Cell. Biol., 8:466-472;				
	31	Boshart et al., (1985) "A Very Strong Enhancer Is Located Upstream of an Immediate Early Gene of Human Cytomegalovirus," Cell 41:521-530;				
	32	Graham, F.L. et al., (1977) "Characte 36:59-72;	eristics of a Human Cell	Line Transformed by DNA From Human A	denovirus Type 5," J. Gen. Virol.,	
	33	Harrison, T. et al., (1977) "Host-Ran	ge Mutants of Adenoviru	s Type 5 Defective for Growth in HeLa Co	ells," Virology 77:319-329;	
	34	Graham, F.L. et al. ,(1978) "Defective	e Transformimg Capacity	y of Adenovirus Type 5 Host-Range Mutan	ts," Virology 86:10-21;	
	35	Laimins et al., (1984) "Host-Specific Virus," Proc. Natl. Acad. Sci. USA 7	Activiation of Transcript 9:6453-6457;	tion by Tandem Repeats from Simian Virus	40 and Moloney Murine Sarcoma	
	36	Birnboim and Doly, (1979) "A Rapid Alkaline Extraction Procedure for Screening Recombinant plasmid DNA," Nuc. Acids. Res., 7:1513-1523;				
	37	Kaufman and Sharp, (1982) "Amplification and Expression of Sequences Cotransfected with a Modular Dihydrofolate Reductase Complementary DNA Gene," <i>J. Mol. Biol.</i> 159:601-621;				
	38	Kaufman et al., (1985) "Coamplification and Coexpression of Human Tissue-Type Plasminogen Activator and Murine Dihydrofolate Reductase Sequences in Chinese Hamster Ovary Cells," Mol. Cell. Biol. 5:1750-1759;				
	39	Toneguzzo et al., (1988) "Electric Field-Mediated Gene Transfer: Characterization of DNA Transfer and Patterns of Integration In Lymphoid Cells," Nucl. Acid Res. 16:5515-5532;				
	40	Calos et al., (1983) "High Mutation I	Calos et al., (1983) "High Mutation Frequency in DNA Transfected Into Mammalian Cells," Proc. Natl. Acad. Sci. USA 80:3015-3019;			
	41	Kopchick and Stacey, (1984) "Differences In Intracellular DNA Ligation After Microinjection and Transfection," Mol. Cell. Biol. 4:240-246;				
	42	Wake et al. (1984) "How Damaged is	Wake et al. (1984) "How Damaged is sThe Biologically Active subpopulation of Transfected DNA?," Mol. Cell. Biol. 4:387-398;			
	43	Lebkowski et al., (1984) "Transfected	d DNA Is Mutated in Mo	onkey, Mouse, and Human Cells," Mol. Cel	l. Biol. 4:1951-1960;	
	44	Drinkwater and Klinedinst, (1986) "Chemically Induced Mutagenesis In A Shuttle Vector With A Low-Background Mutant Frequency," Proc. Natl. Acad. Sci. USA 83:3402-3406;				
	45	Rice and Baltimore, (1982) "Regulate Natl. Acad. Sci. USA 79:7862-7865;	ed Expression Of An Imn	nunoglobulin K Gene Introduced into A Mo	ouse Lymphoid Cell Line," Proc.	
	46	Oi et al., (1983) "Immunoglobulin Gene Expression in Transformed Lymphoid Cells," Proc. Natl. Acad. Sci. USA 80:825-829;				
	47	Potter et al., (1984) "Enhancer-Dependent Expression of Human K Immunoglobulin Genes Introduced Into Mouse pre-B Lymphocytes by Electroportation" Proc. Natl. Acad. Sci. USA 81: 7161-7165;				
	48	Boggs et al., (1986) "Efficient Transformation and Frequent Single-Site, Single-Copy Insertion of DNA Can Be Obtained in Mouse Erythroleukemia Cells Transformed by Electroportation" Exp. Hematol. 14:988-994;				
	49	Toneguzzo et al., (1986) "Electric Field-Mediated DNA Transfer: Transient and Stable Gene Expression in Human and Mouse Lymphoid Cells," Mol. Cell. Biol. 6:703-706;				
	50	Toneguzzo and Keating, (1986) "Stable Expression of Selectable Genes Introduced Into Human Hematopoietic Stem Cells By Electric Field-Mediated DNA Transfer," Proc. Natl. Acad. Sci. USA 83:3496-3499;				
	51	Chu et al., (1987) "Electroportation For The Efficient Transfection of Mammalian Cells With DNA," Nucl. Acids Res. 15:1311-1326;				
1/1	52	Moore et al., (1993) "Interleukin-10," Ann. Rev. Immunol. 11: 165-190;				
Exami x er:	SQ	aux		Date Considered: 1080		
EXAMINER:			ugh citation if not in conf	formance and not considered. Include copy	y of this form	

FORM PTO-1 (Modified)	449	U.S. Department of Commerce Parent and Trademark Office	Attomey Docket No.: GENITOPE- 03849	Serial No.: 09/370,453	
INFORMATION DISCLOSURE STATE (Use Several Sheets If No		ON DISCLOSURE STATEMENT BY APPLICANT (Use Several Sheets If Necessary)	Applicant: Dan W. Denney, Jr.		
(37 CFR § 1.9	98(b))	\ ,5/	Filing Date: 08/09/99	Group Art Unit: 1642	
•		OTHER DOCUMENT Coolyding (1) Title, D.	ate, Relevant Pages, Place of Publication)		
.96	53	Mosmann, (1994) "Properties and Functions of Interleukin-10"	Advances in Immunol. 56:1-26;		
Y	54	Bromberg, (1995) "IL-10 Immunosuppression in Transplantation	on," Curr. Op. Immunol. 7:639-643;		
	55	Sharma et al., (1991) "Antigen-Specific Therapy of Experimer Complex-Peptide Complexes" Proc. Natl. Acad. Sci. USA 88:1		Class II Major Histocompatibility	
	56	Tonegawa, (1983) "Somatic generation of antibody diversity,"	Nature 302:575-581;		
	57	Teilland et al., (1983) "Monoclonal Antibodies Reveal the Stra	uctural Basis of Antibody Diversity," Science	ce 222:721-726;	
	58	Griffiths et al., (1984) "Somatic mutation and the maturation of immune response to 2-phenyl oxazolone," Nature 312:271-275;			
	59	Clarke et al., (1985) "Inter- and Intraclonal Diversity in the Ar	ntibody Response to Influenza Hemagglutin	in," J. Exp. Med. 161:687-704;	
	60	Cleary et al. (1986) "Clustering of Extensive Somatic Mutation Human B Cell Lymphoma," Cell 44:97;	ns in the Variable Region of an Immunoglo	bulin Heavy Chain Gene from a	
	61	Levy et al. (1988) "Mutational Hot Spots in Ig V Region Gene	es of Human Follicular Lumphomas," J. Ex	p. Med. 168:475-489;	
	62	Bahler and Levy, (1992) "Clonal evolution of a follicular lymphoma: Evidence for antigen selection," <i>Proc. Natl. Acad. Sci USA</i> 89:6770-6774;			
	63	Zelentz et al., (1992) "Clonal Expansion in Follicular Lympho	ma Occurs Subsequent to Antigenic Selecti	ion," J. Exp. Med. 176:1137-1148;	
	64	Zhu et al., (1994) "Clonal history of a human follicular lymphoma as revealed in the immunoglobulin variable region genes," Brit. J. Haematol. 86:505-512;			
	65	Okayama and Berg, (1983) "A cDNA Cloning Vector That Per 3:280-289;	rmits Expression of cDNA Inserts in Mamr	nalian Cells," Mol. Cell. Biol.,	
	66	Shinnick et al., (1981) "Nucleotide Sequence of Moloney Murine Leukaemia Virus," Nature 293:543-548;			
	67	Allison et al., (1982) "Tumor-Specific Antigen of Murine T-Lymphoma Defined with Monoclonal Antibody," J. Immunol., 129:2293-2300;			
	68	Huynh, et al., (1985) "Constructing and Screening cDNA Libraries in λgt10 and λgt1 in DNA Cloning: A Practical Approach," (D.M. Glover, ed.), Vol. 1, IRL Press Oxford, pp. 49-78;			
	69	Jolly et al., (1983) "Isolation and Characterization of a Full-Length Expressable cDNA for Human Hypoxanthine Phosphoribosyltransferase," Proc. Natl. Acad. Sci. USA 80:477-481;			
	70	Saiki et al., (1988) "Primer-Directed Enzymatic Amplfication of DNA with a Thermostable DNA Polymerase," Science 239:487-491;			
	71	Elliott et al., (1990) "Genes for Plasmodium Falciparum Surface Antigens Cloned by Expression in COS Cells," Proc. Natl. Acad. Sci. USA 87:6363-6367;			
	72	Seed, (1987) "An LFA-3cDNA Encodes a Phospolipid Linked	Membrane Protein Homologous To Its Re	ceptor CD2," Nature 329:840-842;	
	73	Moore et al., (1990) "Homology of Cytokine Synthesis Inhibit 248:1230-1234;	ory Factor (IL-10) To The Epstein-Barr Vi	rus Gene BCRFI," Science	
	74	Hoopes and McClure, (1988), "Studies on the Selectivity of DNA Precipitation by Spermine," Nucleic Acids Res. 9:5493-5504;			
	75	Caras et al., (1987) "Cloning Of Decay-Accelerating Factor Suggests Novel Use Of Splicing To Generate Two Proteins," Nature 325:545-548;			
	76	Caras et al., (1987) "Signal For Attachment of a Phospolipid N	Membrane Anchor in Decay Accelerating F	actor," Science 238:1280-1282;	
5	77	Kupke et al., (1989) "Improved Purification and Biochemical I Thuringiensis" Eur. J. Biochem. 185:151-155;	Properties of Phosphatidylinositol-Specific	Phospholipase C From Bacillus	
-	78	Stetler et al., (1982)"Isolation of a cDNA Clone for the Human Hybridization Probe," Proc. Natl. Acad. Sci. USA 79:5966-597	n HLA-DR Antigen α Chain by Using a Sy 70;	enthetic Oligonucleotide as a	
Examiner:	S	ansal	Date Considered: 1080		
EXAMINER:		and citation considered. Draw line through citation if not in confi h next communication to applicant.	ormance and not considered. Include copy	of this form	

FORM PTO-1 (Modified)	449	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No.: GENITOPE- 03849	Serial No.: 09/370,453		
INFORMATION		ON DISCLOSURE STATEMENT BY APPLICANT (Use Several Sheets If Necessary)	Applicant: Dan W. Denney, Jr.			
(37 CFR § 1.9	98(b))	(Use Several Sheets If Necessary) JUN 1 8 2001	Filing Date: 08/09/99	Group Art Unit: 1642		
		OTHER DOCUMENTS (In Author Author Documents), D.	ate, Relevant Pages, Place of Publication)			
902	79	Kunkel et al., (1987) "Rapid and Efficient Site-Specific Mutag		hods in Enzymology 154:367-382;		
<u> </u>	80	Russel et al., (1986) "An Improved Filamentous Helper Phage	for Generating Single-Stranded Plasmid D	NA," Gene 45:333-338;		
	81	Bell et al., (1985) "DNA Sequence and Characterization of Hu Haplotype," Proc. Natl. Acad. Sci. USA 82:3405-3409;	ıman Class II Major Histocompatibility Co	mplex β Chains From the DR1		
	82	Mosmann et al., (1990) "Isolation of Monoclonal Antibodies S Cytokine Synthesis Inhibitory Factor, By Using a Solid Phase	Specific for IL-4,IL-5, IL-6, and a New Th. Radioimmunoadsorbent Assay," J. Immuno	2-Specific Cytokine (IL-10), ol. 145:2938-2945;		
_	83	Cloning by Limiting Dilution, in Current Protocols in Immuno 2.5.11;	ology (J.E. Coligan et al., eds.) John Wiley	& Sons, New York, section 2.5.10-		
	84	Lampson and Levy (1980) "Two Populations of Ia-Like Molec	cules on a Human B Cell Line," J. Immuno	d., 125:293-299;		
	85	Harlow and Lane, (1988) eds., Antibodies: A Laboratory Man	ual, Cold Spring Harbor Press, New York,	pp. 272, 276, 341;		
	86	Kwak et al., (1992) "Induction of Immune Responses in Patier Expressed By their Tumors," N. Engl. J. Med. 327:1209-1215		urface-Immunoglobulin Idiotype		
	87	Hsu et al., (1996) "Vaccination of Patients with B-Cell Lymph	noma Using Autologous Antigen-Pulsed De	ndritic Cells," Nature Med. 2:52-58;		
	88	Cosson and Bonifacino, (1992) "Role of Transmembrane Domain Interactions in the Assembly of Class II MHC Molecules," <i>Science</i> 258:659-662;				
	89	Vu et al., (1991)"Molecular Cloning of a Functional Thrombin Receptor Reveals a Novel Proteolytic Mechanism of Receptor Activation," Cell 64:1057-1068;				
	90	Vu et al., (1991) "Domains Specifying Thrombin-Receptor Interaction," Nature 353:674-677;				
	91	Haas et al., (1996) "Codon usage limitation in the expression of HIV-1 envelope glycoprotein," Curr. Biol. 6:315-324;				
	92	Zolotukhin et al., (1996) "A 'Humanized' Green Fluorescent Protein cDNA Adapted for High-Level Expression in Mammalian Cells," J. Virol. 70:4646-4654;				
	93	Tao and Levy, (1993) "Idiotype/granulocyte-macrophage colony-stimulating factor fusion protein as a vaccine for B-cell lymphoma," <i>Nature</i> 362:755-758;				
	94	Chen et al., (1994) "Idiotype-Cytokine Fusion Proteins as Cancer Vaccines: Relative Efficacy of IL-2, IL-4, and Granulocyte-Macrophage Colony-Stimulating Factor," J. Immunol. 153:4775-4787;				
	95	Mehta-Damani et al., (1994) "Generation of Antigen-Specific CD8+ CTLs from Naive Precursors," J. Immunol. 153:996-1003;				
	96	Takamizawa et al., (1995) "Cellular and Molecular Basis of Human γδ T Cell Activation: Role of Accessory Molecules in Alloactivation," J. Clin. Invest. 95:296-303;				
	97	Kane et al.," Use of a Cloned Multidrug Resistance Gene for Coamplification and Overprotection of Major Excreted Protein, a transformation-Regulated Secreted Acid Protease," Mol. Cell. Biol. 8:3316 (1988);				
	98	Cockett et al., "High Level Expression Of Tissue Inhibitor Of Synthetase Gene Amplification, " Bio/Technology 8:662 (1990)		ary Cells Using Glutamine		
	99	Bebbington, "Use of vectors based on gene amplification for the Practical Approach, Glower and Hames, eds., Oxford Univers		nn cell," In: DNA Cloning 4, A		
	100	Chiang and McConlogue, "Amplification and Expression of He Cell. Biol. 8:764 (1988)	eterologous Ornithine Decarboxylase in Ch	inese Hamster Ovary Cells," Mol.		
	101	Reff et al., "Depletion of B Cells In Vivo by a Chimeric Mous	e Human monoclonal Antibody to CD20,"	Blood 83:435 (1994);		
	102	Page and Sydenham, "High Level Expression of the Humanize Bio/Technology 9:64 (1991);	ed Monoclonal Antibody Campath-1H in C	hinese Hamster Ovary Cells,"		
\bigvee	103	Kim and Wold, "Stable Reduction of Thymidine Kinase Activi	ity in Cells Expressing High Levels of Anti	-Sense RNA," Cell 42:129 (1985);		
Examiner:		Musel	Date Considered: 10 8 6			
EXAMINER:		ial cutation considered. Draw line through citation if not in confi	ormance and not considered. Include copy	of this form		

FORM PTO-14 (Modified)	449	U.S. Department of Commerce Patent and Trudemate Office	Attorney Docket No.: GENITOPE- 03849	Serial No.: 09/370,453		
` ,		ON DISCLOSURE STATEMENT BY APPLICANT	Applicant: Dan W. Denney, Jr.			
(37 CFR § 1.98(b))		NUL)	Filing Date: 08/09/99	Group Art Unit: 1642		
		OTHER DOCUMENTS (In the sting Author Stree, De	ate, Relevant Pages, Place of Publication)			
265	104	Gillies et al., "Expression Of Human Anti-Tetanus Toxoid Anti	tibody in transfected Murine Myeloma Cell	s," Bio/Technology 7:799 (1989)		
Y	105	Wood et al., "High Level Synthesis of Immunoglobulins in Cl	ninese Hamster Ovary Cells," J. Immunol. 1	45:3011 (1990)		
	106	Fouser et al., "High Level Expression Of A Chimeric Anti-Ganglioside GD2 Antibody: Genomic Kappa Sequences Improve Expression In COS And CHO Cells," Bio/Technology 10:1121 (1992)				
	107	Davis et al., "High Level Expression in Chinese Hamster Ovary Cells of Soluble Forms of CD4 T Lymphocyte Glycoprotein Including Glycosylation Variants," J. Biol.Chem. 265:10410 (1990)				
	108	Cartier et al., "Use of the Escherichia coli Gene for Asparagine Synthetase as a Selective Marker in a Shuttle Vector Capable of Dominant Transfection and Amplification in Animal Cells," Mol. Cell. Biol. 7:1623 (1987)				
	109	Cartier and Stanners, "Stable, high-level expression of a carcinoembryonic antigen-encoding cDNA after transfection and amplification with the dominant and selectable asparagine synthetase marker," Gene 95:223 (1990)				
V	110	Nakatani et al., "Functional Expression of Human Monoclonal Myeloma Cells," Bio/Technology 7:805 (1985)	Antibody Genes Directed Against Pseudor	nonal Exotoxin A In Mouse		
Examiner:		(1) 11 12 12 12 12 12 12 12 12 12 12 12 12	Date Considered: 10 8 0			
EXAMINER: Initial custion considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.						



Initial Charton considered. Draw line through citation if not in conformance and not considered. Include copy of this form

Date Considered:

Examiner:

EXAMINER:

with next communication to applicant.

RECEIVED

AUG 0 1 2001

TECH CENTER 1600/2900